



PROBATION AND PAROLE BUREAU STANDARD OPERATING PROCEDURES

| | |
|------------------------------|------------------------------------------------------------------------------------|
| Procedure No.: P&P 40-3 | Subject: UNIFORM FILE ORGANIZATION FOR PROBATION AND PAROLE FIELD FILES |
| Chapter 40: Offender Records | Page 1 of 4 |
| Signature: /s/ Ron Alsbury | Revision Date: 12/03/01; 06/17/02; 03/01/05; 08/01/05 |
| | Effective Date: 09/24/01 |

I. BUREAU DIRECTIVE: Probation and Parole Bureau employees will follow established procedures when developing and maintaining field files. Field files will be uniform in organization and employees will file offender records according to this procedure.

II. AUTHORITY:
46-23-1004 (4) and (5), M.C.A. Duties of Department

III. DEFINITIONS:
Field file means the file, which is used by the Probation and Parole Officer for supervising an offender. The Board of Pardons and Parole uses this same file when the offender is an inmate.

IV. PROCEDURES:

Probation and Parole offender files established after October 1, 2001 will be organized in six (6) sections as indicated below. All P&P offices and the BOPP will use the same style of file and labeling system. Documents will be filed chronologically by date from bottom to top in the appropriate section.

Officers are not precluded from reorganizing an older file into the new filing system if need arises, but are not required to do so. If the officer chooses to reorganize an older file with BOPP incarceration history documentation written on the front of the file, the officer will save this information and place in the BOPP section.

When a probation or DOC Commitment offender is incarcerated at a secure correctional facility the offender's file will be sent to BOPP. Adult Chronological History, Adult Chronological Face Sheet, & Supervision & Compliance forms will be placed in the file when the file is transferred or the offender is discharged.

When an inmate is granted parole or released to P&P supervision the BOPP (for parolees) or IPPO (for discharges to suspended sentences) will send the receiving Probation and Parole Office the offender's file. BOPP and P&P Officers will send the file to the Interstate Compact Unit when a parolee transfers out of state. Probationer case files will remain in, or be returned to, the P&P Office where the offender was sentenced when a probationer transfers out of state. Discharged offenders files will be returned to the county of commitment to be placed in their dead files.

Once the file has been placed in the appropriate order according to this policy; Probation & Parole Bureau employees and BOPP staff will not reorganize. When a report, form or other document is removed for copying, it will be filed where it was originally located. Regional Administrators/PO II's

| | | |
|--------------------------------------------------------------------------------|---------------------------|-------------|
| Procedure No.: P&P 40-3 | Chapter: Offender Records | Page 2 of 4 |
| Subject: UNIFORM FILE ORGANIZATION FOR PROBATION AND PAROLE FIELD FILES | | |

will conduct audits of officer file compliance under both procedures per P&P 150-9, Case Record Auditing. **To reduce copying and mailing costs, files will not contain numerous copies of the same documents when they are transferred.**

File Folder The file folder that will be used in all offices will be Smead SMD 14075, Manufacture # SMDC4025A2D, Red. This folder has a 2" Gusset with two dividers.

Labels The labels will be all white. Avery File Folder Labels, Laser 5366.

Field files in place prior to October 1, 2001 will be organized, maintained and audited according to the following structure.

The *Adult Chronological Face Sheet, Supervision Strategy and Compliance Form, & Offender Chronological History* will be filed on the left side on the very top when the file is transferred or closed. While the offender is on active supervision, these forms will be located in Chronological Books.

LEFT SIDE

1. Firearms Notification form
2. Sexual/Violent Offender Registration Notification
3. Offender Case Plan
4. Probation/Parole/ISP Rules & Special Conditions
5. Monthly Reports, Travel Permits, original/white copy), photo copy of drug screening results (in chronological order); restitution receipts
6. Interstate Compact information
7. Adult Chronological History (on top when filed)
8. ACIS/Profiles Forms
9. Risk/Needs Assessment
10. Supervision Fee
11. Jail Sanctions
12. Violation Reports
13. Intervention Hearing Forms
14. DOC Inmate Escape reports/forms
15. Search Notification form
16. Pre-Release, ISP Referral & Other Community
17. Correction Programs, Screening, letters, etc. Treatment evaluations, reports, & correspondence
18. General Correspondence
19. Notification of Offender Sentenced to DOC or MSP/MWP
20. Parole Warrants/Authorization to Pick Up & Hold
21. Wage Garnishment Form
22. Employer Notification Letter
23. MASC/BASC Paperwork
24. Medical Records related to P&P Supervision
25. DNA Testing Forms

RIGHT SIDE

1. Police Reports
2. Legal Information/Affidavit (in chronological order)
3. Plea Agreement
4. Pre-Sentence Investigation, questionnaire and correspondence (in chronological order) Evaluations
5. Sentencing Order/Judgment/Minute Entry (if applicable)
6. DOC Commitment Classification and Warrant
7. BOPP Reports, Dispositions
8. Prison Classification forms and treatment requests/ completions
9. Parole eligibility/discharge date (pink ½ sheet) Basic Information Sheet, FBI Rap Sheet, pink classification summary (these 4 items always on top during each period of incarceration until there is a new judgment or revocation.

The BOPP section starts again from 1-11, on top of the old information when there is a new judgment or revocation.

| | | |
|--------------------------------------------------------------------------------|---------------------------|-------------|
| Procedure No.: P&P 40-3 | Chapter: Offender Records | Page 3 of 4 |
| Subject: UNIFORM FILE ORGANIZATION FOR PROBATION AND PAROLE FIELD FILES | | |

Field files created after October 1, 2001 will be organized, maintained and audited according to the following structure.

The *Adult Chronological Face Sheet*, *Supervision Strategy and Compliance Form*, & *Offender Chronological History* will be filed under Section 1: Sign up/Supervision on the very top when the file is transferred or closed.

While the offender is on active supervision, these forms will be located in Chronological Books.

Section 1-Sign Up/Supervision

Sexual/Violent Offender Registration & Notification
Original Parole Certificate (on top of rules)
Original P & P/ISP Rules & Conditions
Firearms Notification
Search Notification
Supervision Fee
ACIS/Profiles Forms
Jail Sanction Forms
Intervention Hearing Forms
Violation Reports
DOC Commitment Classifications/Warrants
Risk/Needs Assessment
DOC Inmate Escape reports/forms
Pre-Release, ISP or other Community Correction Program Screenings and paperwork
Interstate Compact
Request for Destruction/Disposal of Confiscated Property
Warrants/Authorization to Pick Up & Hold
Notification of Offenders Sentenced to DOC or MSP/MWP
General Correspondence relative to P&P Supervision
Wage Garnishment Form
Employer Notification Form
MASC/BASC Paperwork
DNA Testing Forms (If done by P&P)

Section 2 –Court Documents

Police Reports
Information/Affidavits
Plea Agreements
Pre-Sentence Reports
Post PSI (PSI Questionnaire and Criminal Record Check)
Sentencing Orders/Judgments
Bench Warrants
Court Orders (appearance, continuance, etc)
Records Checks

Section 3-Monthly Reports/Travel Permits/Payment Receipts

Travel Permits
Monthly Reports
Restitution, Fines, Fees

Section 4-Treatment

Treatment requests or evaluations such as chemical dependency, mental health, sexual offender. All reports or correspondence relating to treatment. Treatment attendance reports (AA cards) Alcohol/drug testing results while on P&P Supervision. Medical records received as part of P&P Supervision.

Section 5-Victim Information/Correspondence

Victim Letters/Information
Letters/memos relating to victims

Section 6-BOPP Documents

All reports and correspondence **during incarceration** (psych evaluations, psycho- sexual evaluations, treatment requests & completions, etc.) relating to BOPP or MSP, MWP, TSCTC, Pre-Release, Regional Prisons, etc. BOPP will organize this section according to staff and Board needs.

(The BOPP section will not include any pre-incarceration paperwork ex. pre-release screening form. This section is used only by BOPP for incarceration information)

| | | |
|--------------------------------------------------------------------------------|---------------------------|-------------|
| Procedure No.: P&P 40-3 | Chapter: Offender Records | Page 4 of 4 |
| Subject: UNIFORM FILE ORGANIZATION FOR PROBATION AND PAROLE FIELD FILES | | |

V. CLOSING: Questions concerning this procedure shall be directed to the Regional Administrator or designee.